

EST 10 2003  
DOCKET NO. MS303526.1

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of

Applicant: **Eric J. Horvitz**

Serial No.: **10/610,487**

Filed: **June 30, 2003**

For: **POSITIONING AND RENDERING NOTIFICATION HERALDS BASED ON USER'S FOCUS OF ATTENTION AND ACTIVITY**

Art Unit: **Unknown**

Examiner: **Unknown**

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 10/220,419	PCT/US01/08711	10/220,550	PCT/US01/08710
Filing Date: 8-30-02	3-16-01	8-30-02	3-16-01

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

(a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.

(b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

(a) ☐ Within 3 months of the filing date or date of entry into the National Stage.

(b) ☒ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R.

(c) \_\_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_\_ The required certification is given below, or

(2) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement.

(d) \_\_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

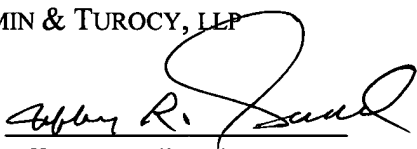
(1) \_\_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(i)(1), or

4. Certification (if applicable)

(a) \_\_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

Respectfully Submitted,  
AMIN & TUROCY, LLP

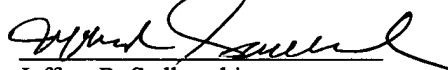
By   
Jeffrey R. Sadlowski  
Reg. No. 47,914

AMIN & TUROCY, LLP  
24<sup>TH</sup> Floor, National City Center  
1900 E. 9<sup>th</sup> Street  
Cleveland, Ohio 44114

CERTIFICATE OF MAILING

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date: October 7, 2003

  
Jeffrey R. Sadlowski

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Application Number</b>	10/610,487	
			<b>Filing Date</b>	June 30, 2003	
			<b>First Named Inventor</b>	Eric J. Horvitz	
			<b>Art Unit</b>	Unknown	
			<b>Examiner Name</b>	Unknown	
<b>Sheet</b>	1	of	4	<b>Attorney Docket Number</b>	MS303526.1 / MSFTP474US

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>3</sup> (if known)			
		US- 5,493,692	2-20-96	Theimer, et al.	
		US- 5,508,817	4-16-96	Kuningami	
		US- 5,757,916	5-26-98	MacDoran, et al.	
		US- 5,767,852	6-16-98	Keller, et al.	
		US- 5,812,865	9-22-98	Theimer, et al.	
		US- 5,831,545	11-3-98	Murray, et al.	
		US- 5,928,330	6-27-99	Goetz, et al.	
		US- 5,377,354	12-27-94	Scannell, et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials <sup>2</sup>	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If known)				
		EP0420779A3	04-03-91	Cherryl A. Dawson, et al.		
		EP0867823A2	09-30-98	Jeyachandran, et al.		
		EP0905633A3	07-19-00	Haneda, et al.		
		EP0905633A2	3-31-99	Haneda, et al.		
		GB2328110A	2-10-99	Pinard		
		WO96/35994	11-14-96	Finney, et al.		
		WO98/37680	8-27-98	Franz, et al.		
		WO98/47268	10-22-98	Newton, et al.		
		WO98/58321	12-23-98	Udell, et al.		
		WO99/06915	2-11-99	Narasimhan, et al		

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08A (10-01)

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Substitution for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Complete if Known</b>	
				<b>Application Number</b>	10/610,487
				<b>Filing Date</b>	June 30, 2003
				<b>First Named Inventor</b>	Eric J. Horvitz
				<b>Art Unit</b>	Unknown
				<b>Examiner Name</b>	Unknown
				<b>Attorney Docket Number</b>	MS303526.1 / MSFTP474US
Sheet	2	of	4		

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Examiner Signature		Date Considered	
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1 Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO		<b>Complete if Known</b>	
		<b>Application Number</b>	10/610,487
<b>INFORMATION DISCLOSURE</b>		<b>Filing Date</b>	June 30, 2003
		<b>First Named Inventor</b>	Eric J. Horvitz
<b>STATEMENT BY APPLICANT</b>		<b>Group Art Unit</b>	Unknown
		<b>Examiner Name</b>	Unknown
(use as many sheets as necessary)		<b>Attorney Docket Number</b>	MS303526.1 / MSFTP474US
<b>Sheet</b>	3	<b>of</b>	4

<b>OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		COSTAS TSATSOULIS, QING CHENG and HSIN-YEN WEI, "Integrating Case-Based Reasoning and Decision Theory", 1997, 10 pages	
		FRANCIS CHU and JOSEPH HALPERN, "A Decision-Theoretic Approach to Reliable Message Delivery", 15 pages	
		PETER HADDAWY, "An Overview of Some Recent Developments in Bayesian Problem-Solving Techniques Introduction to This Special Issue", 1999, 9 pages	
		FINN V. JENSEN, "Bayesian networks basics", Winter 1995/ Spring 1996, 14 pages	
		YU LO CYRUS CHANG, LESLIE C. LANDER, HORNG-SHING LU and MARTIN T. WELLS, "Bayesian Analysis for Fault Location in Homogeneous Distributed Systems", 1993, 10 pages	
		SANGUK NOH and PIOTR J. GMYTRASIEWICZ, "Rational Communicative Behavior in Anti-Air Defense", 1998, 8 pages	
		ALEC CAMERON and HSIANG-LUNG WU, "Identifying and Localizing Electrical Components: A Case Study of Adaptive Goal-directed Sensing", 1997, 6 pages	
		NITIN SAWHNEY and CHRIS SCHMANDT, "Speaking and Listening on the Run: Design for Wearable Audio Computing, 1998, 8 pages	
		DOREE DUNCAN SEHGMANN, CATI LAPORTE, and STEPHAN VLADIMIR BUGAJ, "The message is the medium", 1997, 12 pages	
		JUHA TAKKINEN and NAHID SHAHMEHRI, "CAFE: A Conceptual Model for Managing Information in Electronic Mail", 1998, 10 pages	
		JACOB PALME, JUSSI KARLGREN, and DANIEL PARAGRAN, "Issues whe designing filters in messaging systems", 1996, 7 pages	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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		First Named Inventor	Eric J. Horvitz
		Group Art Unit	Unknown
		Examiner Name	Unknown
		Attorney Docket Number	MS303526.1 / MSFTP474US
Sheet	4	of	4

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		CHAOMEI CHEN, "Visualising semantic spaces and author co-citation networks in digital libraries", 1999, 20 pages	
		International Search Report dated August 20, 2002, for International Application Serial No. PCT/US01/08711	
		International Search Report dated September 2, 2002, for International Application Serial No. PCT/US01/08710	
		ROBERT M. LOSEE JR., "Minimizing information overload: the ranking of electronic messages", 1989, 11 pages	
		PAUL E. BACLACE, "Competitive Agents for Information Filtering", December 1999, 1 page	
		MAKOTO IWAYAMA and TAKENOBU TOKUNAGA, "Hierarchical Bayesian Clustering for Automatic Text Classification", 1995, 6 pages	
		WILLIAM W. COHEN, "Learning Rules that Classify E-Mail", 1996, 11 pages	
		GARY BOONE, "Concept Features in Re: Agent, an Intelligent Email Agent, 1998, 8 pages	
		MARTI A. HEARST and HAYM HIRSH, "Machine Learning in Information Access Papers from the 1996 AAAI Spring Symposium", 1996, 3 pages	
		JONATHAN ISAAC HELFMAN and CHARLES LEE ISBELL, "Ishmail: Immediate Identification of Important Information", 8 pages	
		M. MARX, et al, "Clues: Dynamic Personalized Message Filtering", Proceedings of the ACM 1996 Conference on Computer Supported Cooperative Work, Boston, Nov. 16-20, 1996, pages 113-121	

Examiner Signature	Date Considered
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